

AGENCY			
CYCLE		SYSTEM	
PREPARED BY			

6.2.4.3.11	Electronic Data Processing	Effective Date:	July 1, 1991	
		YES	NO	N/A
6.2.4.3.11.a	Is the electronic data processing (EDP) department independent of the accounting and operating departments for which it processes data?			
6.2.4.3.11.b	Is there an appropriate segregation of duties within the data processing function for system development (design and programming), technical support (maintenance of systems software), and operations?			
6.2.4.3.11.c	Are there controls over preparation and approval of input transactions outside the EDP department and prohibiting the department from initiating and processing transactions without the approval of the affected users?			
6.2.4.3.11.d	Are there controls over the completeness and accuracy of input, processing and output?			
6.2.4.3.11.e	Are there controls over error correction of rejected transactions?			
6.2.4.3.11.f	Is access to terminals and data entry restricted to authorized employees?			
6.2.4.3.11.g	Is password security over computer systems set-up on an individualized basis?			
6.2.4.3.11.h	Do controls include user reconciliation of output totals to input totals for all data submitted, internal reconciliation of file balances, and the review of outputs for reasonableness?			
6.2.4.3.11.i	Are there appropriate controls over use and retention of tape and disk files, including provisions for retention of adequate records to provide backup capabilities?			
6.2.4.3.11.j	Are adequate controls exercised over changes to system software?			
6.2.4.3.11.k	Is access to computer equipment and system documentation limited to authorized employees?			

6.2.4.3.11.l	Is there adequate documentation of procedures to be followed by computer operators?			
6.2.4.3.11.m	Is there a written and tested contingency plan providing for continued processing of critical applications in the event of a disaster to the computer facility?			
6.2.4.3.11.n	Have appropriate controls been established for the use and contents of personal computers?			